



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/801,951	03/17/2004	William F. DeGrado	1694.0630003/JMC/AES

CONFIRMATION NO. 2895

26111
STERNE, KESSLER, GOLDSTEIN & FOX PLLC
1100 NEW YORK AVENUE, N.W.
WASHINGTON, DC 20005

FORMALITIES LETTER



OC000000012863391

Date Mailed: 06/03/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 770 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 4,5,6,7,8,9,10,11.
 - Numbers, letters, and reference characters on the drawings must measure at least 0.32 cm (1/8 inch) in height. See Figure(s) 15,18,19,20.

The applicant needs to satisfy supplemental fees problems indicated below.

04/04/2005 08:02:00 10801951 400.00 CP 1350.00 CP 180.00 CP

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of **\$1520** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

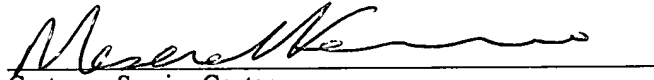
SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$2420** for a Large Entity

- **\$770** Statutory basic filing fee.
- **\$130** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$1520**
 - **\$258** for 3 independent claims over 3.
 - **\$972** for 54 total claims over 20.
 - **\$290** for multiple dependent claim surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



**Sterne Kessler
Goldstein Fox**
ATTORNEYS AT LAW



Robert Greene Stamm
Edward J. Kessler
George A. Goldstein
David K.S. Cornwall
Robert W. Edmund
Tracy-Gene G. Durkin
Michael A. Grubeln
Michael B. Ritz
Robert E. Seckel
Eric K. Steffe
Michael Q. Lee
Steven R. Ludwig
John M. Covert
Ulrich E. Altam
Robert C. McManis
Lawrence B. Bugalsky
Daniel J. Featherstone
Michael V. Messinger

Joseph U. Kim
Timothy J. Shea, Jr.
Patrick E. Garrett
Jeffrey T. Harvey
Kelli L. Kreis
Albert L. Ferro
Donald R. Baranovitz
Peter A. Isidorian
Teresa U. Medlar
Jeffrey S. Weaver
Kenneth P. Patterson
Vincent L. Capuzzo
Eldora Elisen Floyd
Thomas C. Pella
Brian J. Del Buono
Vinyl Lee Beaton
Theodore A. Wood
Elizabeth J. Hoanes

Joseph S. Ostroff
Frank R. Cottingham
Christina M. Umiller
Rea Lynn P. Guest
George S. Bardnesser
Daniel A. Klein
Jason D. Eisenberg
Michael D. Speditt
Andrea J. Kamaga
Tracy L. Muller
Jan E. Wright
LuAnne M. DeSantis
Ann E. Summerfield
Aric W. Ledford
Helene C. Carlson
Timothy A. Doyle
Gabby L. Longworth
Lori A. Gordon

Nicole D. Drayer
Ted J. Eisenberg
Fred C. Iyer
Laura A. Vogel
Michael J. Marano
Donald R. Baranovitz
Karen R. Markovitz
Nancy J. Leith
Matthew J. David
Aaron L. Schwartz
Kathryn Yulian Pal Quach
Bryan L. Skelton
Robert A. Schwartzman
Teresa A. Colallo
Jeffrey S. Lundgren
Victoria S. Rutherford
Michelle K. Holubcek

Robert H. DeSantis
Simon J. Elbert
Julia A. Heider
Mita Mukherjee
Scott M. Woodhouse
Michael G. Fenn
Christopher J. Walsh

Of Counsel
Kenneth C. Bass III
Evan R. Smith
Marvin C. Guthrie

*Admitted only in Maryland
*Admitted only in Virginia
•Practice Limited to
Federal Agencies

December 30, 2004

WRITER'S DIRECT NUMBER:

(202) 772-8606

INTERNET ADDRESS:

ANNS@SKGF.COM

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Mail Stop Missing Parts

Re: U.S. Utility Patent Application
Appl. No. 10/801,951; Filed: March 17, 2004
For: **Facially Amphiphilic Polymers and Oligomers and Uses Thereof**
Inventors: DeGRADO *et al.*
Our Ref: 1694.0630003/JMC/AES

Sir:

In reply to the "Notice to File Missing Parts of Nonprovisional Application--Filing Date Granted," dated June 3, 2004, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. Credit Card Payment Form PTO-2038;
2. PTO Fee Transmittal Form PTO/SB/17;
3. Petition for Extension of Time under 37 C.F.R. § 1.136 (Form PTO/SB/22);
4. Copy of the Notice to File Missing Parts;
5. Original Declaration, executed by the inventors (18 pages);
6. Submission of Drawings;
7. Twenty-one (21) sheets of replacement drawings (Figures 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 10A, 11, 12-13, 14, 15, 15A, 16, 17, 18, 19 and 20); and
8. One (1) return postcard.

Applicants claim small entity status (37 C.F.R. § 1.27).

Commissioner for Patents
December 30, 2004
Page 2

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036.

Respectfully submitted,

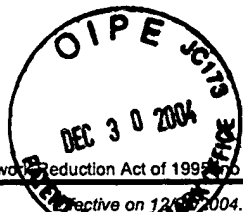
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Ann E. Summerfield
Attorney for Applicants
Registration No. 47,982

AES/law
Enclosures

339911v1



Equivalent to Form
PTO/SB/17 (12-04)

Approved for use through 07/31/2006.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

Effective on 12/31/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL

For FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1,930.00

Complete if Known

Application Number 10/801,951
Filing Date March 17, 2004
First Named Inventor William F. DeGRADO
Examiner Name To Be Assigned
Art Unit 1615
Attorney Docket No. 1694.0630003/JMC/AES

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify):

☒ Deposit Account Deposit Account Number: 19-0036 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below

☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17

☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims 74 - 20 or HP = 54 x 25 = 1,350.00
HP = highest number of total claims paid for, if greater than 20

Indep. Claims 7 - 3 or HP = 4 x 100 = 400.00
HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets - 100 = Extra Sheets / 50 = Number of each additional 50 or fraction thereof x Fee (\$)

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other:

SUBMITTED BY

Signature Ann E. Summerfield Registration No. 47,982 Telephone (202) 371-2600
Name (Print/Type) Ann E. Summerfield Date December 30, 2004

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

DeGRADO *et al.*

Appl. No.: 10/801,951

Filed: March 17, 2004

For: **Facially Amphiphilic Polymers and
Oligomers and Uses Thereof**

Confirmation No.: 2895

Art Unit: 1615

Examiner: *To Be Assigned*

Atty. Docket: 1694.0630003/JMC/AES

Submission of Drawings

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are twenty-one (21) sheets of Replacement drawings with Figures 1, 2, 3 4, 5, 6, 7, 8, 9, 10, 10A, 11, 12-13, 14, 15, 15A, 16, 17, 18, 19, and 20, corresponding to the above-captioned application. Identification of the drawings are provided in accordance with 37 C.F.R. § 1.84(c). Acknowledgment of the receipt, approval, and entry of these drawings into this application are respectfully requested.

It is not believed that an extension of time is required, other than any already provided herewith. However, if an extension of time is needed to prevent abandonment of the application, then such extension of time is hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Ann E. Summerfield
Attorney for Applicants
Registration No. 47,982

Date: December 30, 2004

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600
340316v1